



U.S. Department of Justice Human Capital Strategic Plan

September 2002

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U.S. Department of Justice
Justice Management Division

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Introduction

This Human Capital Strategic Plan, prepared by the U.S. Department of Justice (DOJ), directly supports the November 2001 Department of Justice Strategic Plan. The goals of the Human Capital Strategic Plan are:

- (1) to identify and document human capital accomplishments already completed or underway within the Department; and
- (2) to design and implement a plan to eliminate Department gaps in human capital management.

The plan's first section provides an overview of the Department's human capital environment and recent activities. Specifically, it describes how DOJ has managed its human capital since the Office of Management and Budget (OMB) issued its policy bulletin on this topic in May 2001, and how events since September 10, 2001 (the date DOJ submitted its Workforce Restructuring Proposal to OMB) have reshaped DOJ's human capital plans to meet our counterterrorism mission. It also presents key DOJ organizational and occupational characteristics, as a foundation for understanding proposed human capital action items and how they will be implemented. Roles and responsibilities of DOJ and component human resources (HR) staffs, along with those of the Department's executives, managers, and supervisors, are presented to provide context.

The second section comprises the core of the plan. It describes the framework being developed that will meet DOJ's unique human capital needs, respond to the OMB and the Office of Personnel Management (OPM) success criteria, and address the Attorney General's ten management objectives for the Department, almost all of which contain elements of human capital management. This section presents major human capital objectives being pursued currently by DOJ, accomplishments to date, and additional actions needed to improve human capital management in DOJ now and in the future.

Human capital strategic goals and objectives contained herein have been shared with Justice component HR organizations and reflect their input. Such collaboration and coordination with HR staff and component managers is imperative to ensure that human capital and operational objectives coincide, that they reflect and support leadership direction, and that the plan can be implemented successfully. It also is consistent with expectations articulated by OMB and OPM officials. It will be an evolving plan and will be regularly updated to accurately reflect the priorities and plans of the Department with regard to human capital.

Chapter I - Overview of Human Capital Management at DOJ

Background

In 2001, DOJ prepared a workforce analysis and restructuring plan that addressed reorganizing the Department to accomplish better its mission, including streamlining organizations to speed decision making and service delivery, and examining human capital issues such as attrition, the aging of the workforce, and skills of DOJ's core occupations. Since that time, three major events have occurred which have dramatically affected, and will continue to affect, DOJ organizations and human capital needs: (1) the terrorist attacks on September 11, 2001; (2) the creation of the Transportation Security Administration (TSA); and (3) the President's proposal to create a Department of Homeland Security (DHS).

It is important to realize that none of these events reduce any existing DOJ functional requirements. Clearly, however, priority has

shifted toward building a stronger counterterrorism capability, which includes strengthening and expanding the Department's counterterrorism workforce, and reallocating positions and resources to these efforts.

The Attorney General gave prominence to each of the original and new human capital initiatives by including them among his 10 strategic management goals cited in a memorandum issued to all component heads on November 8, 2001 (see Appendix). Additionally, the Attorney General commissioned several studies to look more broadly at the entire Department's workforce, hiring, training, retention, and diversity practices. Past reports, statistical updates, and these new reviews provided a wealth of data from which to develop this strategic plan.

Justice Structure

DOJ consists of 39 components, led by presidential appointees or career members of the Senior Executive Service (SES). Two components (the Federal Bureau of Investigation (FBI) and the Drug Enforcement Administration (DEA)) are excepted service agencies. The Department provides both guidance and oversight through the Deputy Assistant Attorney General for Human

Resources and Administration, and the Personnel Staff, Justice Management Division. Components conduct all human resource operations, including some policy functions, within their own organizations and under the leadership of the component heads. This operating structure is similar to most cabinet-level Departments.

Within DOJ, there are 3 key occupational categories: Law Enforcement, Legal, and Other/Administrative.

- Law Enforcement: The greatest number of personnel are law enforcement. There are over 75,000 law enforcement or related personnel within DOJ. The Criminal Investigator is the most populous occupation with over 20,000 employees, followed by nearly 15,000 Correctional Officers in the Bureau of Prisons (BOP), nearly 10,000 Border Patrol Agents in the Immigration and Naturalization Service, and more than 10,000 doing general inspection and compliance or immigration inspection. BOP

has the greatest variety of law enforcement jobs in that all personnel (from secretaries and cooks to correctional officers and wardens) within a prison are required to perform law enforcement duties.

- Legal: The second largest occupational group includes those in the legal field. DOJ has over 7,500 attorneys and more than 1,300 paralegal specialists in the Washington D.C. metropolitan area and across the United States. The largest portion of these are affiliated with the U.S. Attorneys serving in each of the 94 judicial districts.

- Other/Administrative: The “other and administrative” occupations are the third largest category. These are spread over more than 150 job classifications covering administrative, technical, and clerical functions such as budget and finance, human resources, security, information technology, language specialties,

intelligence research and other miscellaneous clerical and technical positions. The Department also employs nearly 300 scientists and engineers, primarily in the FBI and the DEA.

DOJ must ensure that its human capital is managed in a manner that optimally supports our counterterrorism mission, as well as the myriad other continuing DOJ responsibilities. This requires full cooperation and support among Department-level HR staff (i.e., Personnel Staff, Justice Management Division), component HR staffs, and program managers and supervisors across DOJ. It also calls for a greater degree of central policy coordination and oversight of human capital planning, implementation, and resource management by the Department. A team approach involving HR staff and program leaders will be necessary to implement successfully this Human Capital Plan.

- **DOJ Executives, Managers, and Supervisors.** Managing human capital is, in the end, the responsibility of managers who must make the day-to-day decisions regarding recruitment and hiring and the ongoing activities and development of on-board employees. Executives, managers, and supervisors engage employees on a daily basis, giving direction, communicating expectations, shaping behavior, giving feedback, and making decisions on training, flexible work arrangements, performance appraisals, and incentives. Through these processes and the actions taken by the supervisor, the work of an organization is accomplished through the appropriate deployment of its human capital. Although it is vitally important to have sound human capital strategies in place, it is even more important that managers understand and implement human capital practices that will enable the achievement of the organization’s mission. Managers and HR staff must work together to ensure successful human capital management.
- **Department HR Staff.** At the direction of the Attorney General and Deputy Attorney

General, the Department’s HR Staff will provide overall leadership and guidance for human capital management, including policy direction, guidance, and oversight for achieving essential goals and meeting public good responsibilities. This leadership responsibility will also include developing (in concert with the components) Department-wide templates and methods for workforce planning. The Department will identify areas, such as human capital automation or occupationally-based recruitment strategies, which may be amenable to Department-wide solutions, and work with components to manage efficiently the limited resources allocated to human resource functions in achieving their support missions. The Department will manage and support the SES executive corps process to ensure the strongest possible alignment with departmental and component goals, including allocation of executive resources, recruitment strategies, performance management, executive and SES candidate development, and executive mobility. Lastly, the Department will focus on upgrading the skills and capabilities of HR staff across the Department, establishing criteria for success and developing a Department-wide HR intern program.

- **Component HR Staffs.** At the direction of component heads and in consultation and collaboration with the Department’s senior HR leadership, component HR staffs will manage and conduct all human capital operations, as well as undertake component-specific workforce analyses and planning activities. This analysis and planning will assist senior management in developing client-centered organizations. The components will design and provide effective recruitment, intake, and training to ensure that skill gaps are alleviated. The

components also will determine the most effective employee communications, performance management, and incentive plans to foster the strongest possible linkage

among the organization's human capital strategy, desired performance results, and mission accomplishment.

Chapter II - DOJ Human Capital Strategic Goals and Objectives

Human Capital Goals

Using guidance provided by OMB, OPM, the General Accounting Office (GAO), and the National Academy of Public Administration (NAPA), and consistent with the President's Management Agenda, DOJ identified four broad goals to be addressed by its Human Capital Plan.

- **Goal 1: Design an effective organization and workforce that aligns with the overall DOJ mission and Strategic Plan.** A fundamental premise of sound human capital management is to ensure that organizational structures and the related workforce are aligned to support agency missions and strategic goals. As appropriate, organizational structures must be streamlined and staff resources focused on the front lines to meet agency strategic goals and operational objectives. To achieve these ends, workforce trend information must be collected and analyzed. Moreover, the public sector must ensure that "public good objectives," such as merit principles, are recognized and included in human capital planning and management.
- **Goal 2: Reduce skill gaps through recruitment, training, and succession planning.** Using information developed in the workforce design process, DOJ must develop appropriate succession plans that include strong recruitment and intake processes, as well as clear training and development strategies. In this way, DOJ will ensure that jobs are consistently filled with quality employees so that missions are accomplished successfully.

- **Goal 3: Develop an organizational culture that clearly identifies and communicates performance expectations to employees, reports and assesses results, and provides incentives/penalties/remedial training.** Once employees are on-board and trained, it is important to ensure clear communication of goals, reinforce desired results, and reward (as well as remove, when needed) employees to achieve the organization's mission. Deliberate, considered attention must be paid to human capital activities that will enable managers and supervisors to operate and sustain the best possible organizations.
- **Goal 4: Strengthen human capital leadership within DOJ.** The role of senior executives, managers, and supervisors is critical to sound human capital management within DOJ. Consequently, DOJ must identify expectations for its leaders and develop mechanisms to communicate expectations and measure performance against these. DOJ leadership training and development is needed to develop a broad understanding of human capital management expectations.

The table below links these four broad DOJ human capital goals to the OMB scorecard and to the 10 management objectives identified in the Attorney General's November 8, 2001, memorandum to all component heads.

Cross-walk of Human Capital Strategic Objectives, OMB Scorecard, and Attorney General's Goals

Human Capital Objective	OMB Scorecard Linkage	Linkage to AG's 10 Goals ¹
I. Design an effective organization and workforce that aligns with the overall DOJ mission and Strategic Plan.	<ul style="list-style-type: none"> • Agency human capital strategy is aligned with mission, goals, and organizational objectives: <ol style="list-style-type: none"> 1) integrated into budget and Strategic Plan; 2) consistent with OPM scorecard (now being modified); 3) consistent with OPM accountability standards (now being modified). • Agency has citizen-centered organizational structure that is delayed and mission-oriented. • Agency implements effective succession plans. 	<p>Goal 2. Streamline, eliminate or consolidate duplicative functions.</p> <p>Goal 3. Focus resources on front-line positions.</p> <p>Goal 4. Reform the FBI.</p> <p>Goal 5. Restructure the INS and EOIR.</p> <p>Goal 6. Restructure OJP and reform grant management.</p>
II. Reduce skill gaps through recruitment, training and succession planning.	<ul style="list-style-type: none"> • Agency <ol style="list-style-type: none"> 1) sustains high-performing workforce continually improving in productivity; 2) strategically uses existing personnel flexibilities, tools and technology. • No skill gaps/deficiencies exist in mission critical occupations. 	<p>Goal 9. Strengthen hiring, training, and diversity policies.</p> <p>Goal 10. Utilize technology to improve government.</p>
III. Develop organizational culture that clearly communicates performance expectations, reports and assesses results, and provides incentives/penalties/training.	<ul style="list-style-type: none"> • Agency differentiates between high and low performers through appropriate incentives and rewards. 	<p>Goal 7. Coordinate internal (and external) communications and outreach.</p>
IV. Strengthen human capital leadership in DOJ.	<ul style="list-style-type: none"> • Agency human capital strategy is aligned with mission, goals, and organizational objectives. • Agency differentiates between high and low performers. 	<p>Goal 1. Develop performance-based, mission-focused leadership.</p>

¹ The only AG Goal not included here is Goal 8, Improve Financial Management.

Recent Human Capital Progress at DOJ

DOJ already has experienced significant success in managing its human capital. Specific elements of this success are presented in the chart below.

Human Capital Accomplishments to Date in the Department of Justice
<ul style="list-style-type: none"> • Low to moderate attrition rates • Overall, DOJ is seen by applicants to have highly desirable job opportunities • Well-established, excellent training programs for new law enforcement and legal job entrants • Workforce average age (40) significantly lower than Federal Government average (47) • Projected annual retirement rates are low, and actual retirement rate for 2001 was 1/3 less than projected • Significant progress has been made since November 2001 in restructuring and improving mission accomplishment in the Federal Bureau of Investigation, the Immigration and Naturalization Service (INS), the Executive Office of Immigration Review (EOIR), and the Office of Justice Programs (OJP) • DOJ's "recruit and train" model results in a substantially large majority (95-97 percent) of supervisors coming from in-house ranks • DOJ has tested and is implementing an electronic training strategy • DOJ has an extensive data bank on job competencies needed for all its occupations

Other specific accomplishments and objectives yet to be accomplished are presented under each human capital goal below. However, a number of specific human capital challenges facing the Department are worthy of special note.

- **Border Patrol Agents and INS Inspectors.** Since the mid-1990s, the Immigration and Naturalization Service (INS) has been tasked to improve mission delivery by hiring larger numbers of Border Patrol agents and INS inspectors, a task heightened in urgency by the events of September 11. However, INS has struggled to achieve this goal and, in recent months, experienced even greater difficulties with the departure of scores of trained employees to the newly created Transportation Security Administration (TSA).
- **Foreign Language and Intelligence Analysis Expertise.** The events of September 11, 2001, served to highlight significant unaddressed human capital challenges in the areas of foreign language and intelligence analysis expertise. Although some of the problems that were experienced could be traced to ineffective organizational structures, lack of appropriate skill sets in the current employee population were critically apparent. These skill sets must now be recruited for, as well as taught to current and new employees.
- **Paralegal and Administrative Support.** During the 1990s, DOJ moved away from providing the types of paralegal and administrative support previously utilized. Upon review, it has been found that professional employees such as attorneys must spend greater percentages of their time on administrative work. Ensuring that appropriate skill set needs are identified and deployed is essential to ensuring the wise use of human capital within the Department.
- **Labor substitution, particularly within the FBI.** Reviews have shown that over the years some DOJ components have redirected front-line resources, such as agents, to assuming responsibilities for administrative tasks. This labor substitution activity has two negative consequences: it removes trained front-line law enforcement personnel from their primary mission and also stints the organization's ability to rely on the professional expertise of skilled administrative personnel. This labor substitution trend now is being reversed, specifically with regard to law enforcement components.

- **Leadership Development for supervisors, managers, and executives.** Although many DOJ components have leadership development programs in place, standards for such programs, including expectations for attendance and involvement, have not been described. Thus, the effectiveness of such programs is questionable. It also is unknown how many, and at what stages, DOJ supervisors and managers are receiving the training that they need to ensure mission accomplishment.
- **Capacity limitations in training facilities, particularly the Federal Law Enforcement Training Center (FLETC), in the wake of September 11.** Although DOJ has strong training approaches and programs in place, particularly for new employees, the increased demands for law enforcement training in the months following September 11 have taxed the Department's capabilities. Moreover, a key training resource for the Department, FLETC in Glynco, Georgia, has not always been able to meet the needs of its DOJ customers. This issue, critical to the Department, has resulted in extensive senior level conversations with FLETC and the Department of Treasury.

Specific DOJ accomplishments, recent activities, and plans/objectives to address each goal of this Human Capital Strategic Plan are presented below.

**GOAL 1.
Design an Effective Organization
and Workforce.**

Accomplishments. The June 2001 U.S. Department of Justice Workforce Planning and Restructuring Report (hereafter, 2001 Restructuring Report) found that:

- DOJ had low to moderate attrition rates (generally 6 percent or less) in nearly all its key occupations;
- several core DOJ occupations (e.g, FBI/DEA agents, Assistant U.S. Attorneys) were still seen by applicants as highly desirable for their challenge and prestige and consequently continued to attract quality applicants;

- DOJ had well-established and excellent training programs for those entering its core law enforcement and legal occupations which guarded against any significant or large skill gap crises;
- the average age of DOJ's workforce, age 40, was substantially below the national federal government average of age 47; and
- projected DOJ retirement over the next 5 years 11.7 percent, which is much lower than the anticipated 18.5 percent (based on a norm of 3.7 percent per year).

These statistics showed a very healthy human capital position at DOJ compared to overall federal government statistics and trends.

Subsequently, parts of the *2001 Restructuring Report* were updated using FY 2001 year-end data and, once again, attrition rates were found to be in the low to moderate ranges (4-9 percent) for core legal and law enforcement occupations, and slightly higher (3-16 percent) for administrative and professional occupations. Retirements were 31 percent below FY 2001 predictions, which were based on recent trends for similar retirement-eligible populations.

Recent Activity. Although the Department has been in a strong position with regard to its workforce design, it nevertheless has been restructuring and streamlining its organizations (e.g, INS, FBI, and the Office of Justice Programs (OJP)) to directly support two of the President's key human capital objectives: (1) deploy resources to direct service delivery positions that interact with citizens, and (2) use a strategic approach to workforce planning to flatten the hierarchy, increase the span of control, and reduce the time it takes to make decisions. These also comport with AG Strategic Goals 2 (streamline, eliminate, or consolidate duplicative functions) and 3 (focus resources on front-line positions).

DOJ Streamlining Review. The Attorney General, through the DOJ Strategic Management Council (SMC), continues to provide direction and leadership on initiatives which foster the President's human capital agenda and which are consistent with his own strategic management goals announced November 8, 2001. For example, the Attorney

General commissioned a thorough top-to-bottom review of DOJ by a major consulting firm to address AG Goals 2 and 3. The review identified many opportunities for redirecting resources to the counterterrorism mission. These are being considered by the SMC and implementation plans will be developed by components for some of these. Many have significant human capital implications. Examples include:

- realign DOJ's drug enforcement-related responsibilities (affecting DEA and FBI);
- streamline grant management activity (affecting OJP and the Community Oriented Policing Services (COPS)); and
- consolidate federal detention operations and management (affecting BOP, the U.S. Marshals Service (USMS), INS, the Office of the Detention Trustee (ODT))

Since September 11, DOJ has given priority to building a counterterrorism infrastructure. This has involved strengthening and expanding the counterterrorism workforce and reallocating positions and resources to achieve that mission. It should be noted that major changes were underway at the INS when the decision to move all of INS into the DHS was announced. DOJ remains heavily involved in planning the transfer of INS to DHS. All of these factors must be considered in the design of an optimum DOJ workforce for the future.

Objectives

- 1. Ensure that human capital objectives align with the DOJ Strategic Plan and Annual Performance Plans.** These key Department planning documents make numerous references to the skill sets, training needs, and organizational infrastructure aspects of achieving the Department's strategic goals. They should reflect accurately human capital priorities and be adjusted as necessary to reflect the latest plans and accomplishments. They are important tools for human capital performance measurement as well.
- 2. Monitor and report on organizational reforms in DOJ components (with particular emphasis on transferring components to the DHS).** Although much has already been

accomplished in realigning functions within DOJ components during the past year (e.g., at INS, FBI, OJP), much work remains. Moreover, with the expected transfer of DOJ organizations or sub-organizations to the DHS, it is important that organizational changes and movement are monitored, assessed, and reported as they occur.

- **Restructure and reform the FBI.** The FBI will continue to implement its major reorganization to focus on counterterrorism and improve its overall management. As part of this, FBI's human capital must be assessed, allocated, and trained to meet continuing and new demands. Key FBI plans are to: update and refocus its strategic plan; reorganize its headquarters to better accomplish that plan; modernize its information technology infrastructure; reallocate and retrain its workforce to meet today's more complex mission; and restructure its field offices. The FBI strategy seeks to prevent terrorist acts and, where prevention fails, respond to and investigate these acts quickly and effectively. The plan also reflects insights and recommendations arising from various independent reviews (e.g., the Webster and the Inspector General (IG) reports).

Redirection of FBI human capital resources is being implemented gradually. Phase 1 of the reorganization involved the upper levels of FBI headquarters, addressing management shortcomings by: (1) establishing four major branches to address span-of-control issues and focus on counterterrorism; (2) creating three new divisions to increase the emphasis on cybercrime investigations, security issues, and improved records management; and (3) realigning other headquarters offices to enhance decision-making, strengthen reporting lines, and increase management accountability. Phase 2 involved changes at the divisional and office levels at FBI headquarters, and is working to enhance the skill sets of FBI employees.

Consistent with the President's goal of putting human capital to work in the most strategic and effective way possible, efforts continue at the FBI to eliminate or consolidate redundant functions, and realign resources. Initial steps already taken to enhance FBI's personnel-related assets are: development of an FBI

strategic recruitment plan, increased resources for the Training Division, and creation of a new College of Analytical Studies to train intelligence analysts.

- **Restructure and reform the Office of Justice Programs (OJP).** The vast majority of DOJ's grant authority resides in OJP. Within the past year, OJP was reorganized to increase the efficiency and effectiveness of grants management. Its structure has been streamlined from 25 to 17 boxes on its official organization chart, which has created a more manageable span of control for the Office of the Assistant Attorney General and greater operational efficiency in the oversight and management of grants. The reorganization consolidated similar grant functions, as well as administrative management functions, to eliminate duplication and overlap.

The President's FY 2003 budget proposed more than \$2 billion in reductions to DOJ grant programs. DOJ and OJP continue to assess various grant programs to determine if their purposes align with DOJ's refocused priorities, and if they should be reduced or eliminated. Also, during the past year, OJP staffing decreased by over 7 percent, although grants awarded actually increased. This productivity improvement is attributable to such factors as the automation of the grant application and monitoring processes, better sequencing of grant solicitations, and initial implementation of OJP's reorganization. Ongoing streamlining and automation efforts may allow additional management and administrative staff reductions, once all changes have been implemented. The Department anticipates that some of these initiatives could be applied within COPS as well. Both OJP and COPS will need to have clear human capital plans to ensure that grant programs support the DOJ mission and that appropriate hiring, retention, and development occur to meet the demands of this rapidly changing environment.

- **Transition to the Department of Homeland Security (DHS).** DOJ is deeply involved in trying to ensure that the transition of INS and other resources to DHS is smooth and accomplishes the President's goal of securing our nation and preventing further terrorist attacks. The expected

impacts on Justice operations and human capital are enormous, and are requiring much sorting and negotiation. As plans crystallize, the human capital aspects of the transition must be monitored, reported, and addressed to ensure continuation of optimum service in key DOJ mission areas. All of the implications still are being determined, but the Department will have to determine and meet the human capital challenges involved. These will need to be articulated in future human capital reporting to OMB.

3. Redirect DOJ resources to primary missions (e.g., counterterrorism, drug enforcement, detention/incarceration) and shift resources to the “front lines” (i.e., wherever needed to have the greatest impact on core missions). DOJ plans to pursue a strategy that will identify ways to reduce management layers and improve supervisor-to-employee ratios, while at the same time, appropriately focus resources on core, front-line activities. Discussions with component HR staff already have surfaced concerns about arbitrary, across-the-board cuts or transfers from headquarters to the field. Instead, a more carefully planned and methodical approach is desired. To meet the President’s human capital objectives, the Department and components must agree on an approach to inventory and account for “front-line” versus “support” positions, conduct an inventory, and determine what changes may be needed to better meet key missions. In addition, appropriate supervisor-to-line employee ratios may need to be determined. Clear definitions and measurement criteria will have to be developed. Such information will help DOJ ensure that its management layers are justified and perform needed services. Some components, such as the BOP, already have reviewed their supervisory structures and begun eliminating unnecessary supervisors.

Other Possibilities Based on Consultant Study.

In the meantime, the Department already is exploring possible initiatives suggested by recent studies that would quickly redirect resources to core missions/front lines.

Examples include:

- reducing the level of FBI involvement in bank robbery investigations, which are

primarily the responsibility of state/local jurisdictions, to free up more agent time for counterterrorism;

- consolidating within DEA responsibility for drug intelligence, investigations, and law enforcement, allowing FBI to focus more on counterterrorism;
- consolidating detention functions of USMS, INS and ODT into BOP, under the Detention Trustee, to achieve unified management/oversight of all federal detention activities, including detention bedspace planning/acquisition (also eliminates functional duplication/overlap and affords greater economies by using existing BOP infrastructure); and
- substituting lower-cost administrative staff for agents who currently perform administrative management functions (e.g., evidence management, finance, personnel, security, systems support), so that agents can return to performing “front line” work.

The SMC continues to review these and other initiatives to redirect resources for optimal mission impacts. Clearly, the DOJ Human Capital Plan mechanism must capture and report progress on initiatives such as these and ensure that they fit the overall human capital strategy of the Department.

4. Expand the use of contractors to perform commercial activities where it improves efficiency and economy. DOJ has been very supportive of the idea of exploring the feasibility of contracting out commercial activities and continues to seek these opportunities. Commercial functions have been identified for review at FBI, INS, and OJP. The Department has expanded its commercial activities inventory from 1 percent in FY 2001 to over 8 percent in FY 2002. In January 2002, DOJ submitted a competitive sourcing plan for achieving a 5 percent competition goal in FY 2002 and a cumulative 15 percent by the end of FY 2003. DOJ is on schedule for implementation within that time frame. In May 2002, the BOP directly converted 310 FTE from federal to contract employees operating a private prison facility in McRae, GA. This action more than meets OMB’s goal for DOJ to contract out 5 percent of its commercial FTEs in FY 2002. DOJ will

continue to pursue such opportunities and report on them as part of its human capital planning process.

5. Develop a workforce analysis and planning model to be applied across DOJ.

Keeping key jobs filled to the maximum extent requires HR offices to know: (1) new slots available; (2) vacancies likely based on past attrition and retirement rates; (3) the percentage of candidates who decline employment offers; (4) the percentage who fail pre-screening requirements such as a background investigation or drug screening; and (5) the percentage who fail training. If these factors are known, an office can determine how many job offers are necessary to fill 100 percent of its recruitment allocation. Some DOJ components use sophisticated models in making these determinations; others use rudimentary methods.

DOJ fills positions through a process involving budget staffs, component heads, HR staffs, and selecting officials. Budget staffs notify component heads of money available for salaries and expenses. Component heads then assign personnel ceilings to their various sub-organizations. To plan properly, HR staffs must know personnel ceilings and on-board staff, by major occupation, of the organizations serviced. Otherwise, they must wait for managers to report a recruitment need, and become purely reactive. Although DOJ traditionally has done a good job of keeping budgeted positions/jobs filled, it could do even better if all HR offices had access to such information.

GOAL 2. Reduce Skill Gaps through Recruitment, Training, and Succession Planning.

Accomplishments. An organization works at peak capacity when it has a complete, well-trained, motivated, and diverse workforce striving together to attain the organization's stated mission. Therefore, human capital managers seek to keep budgeted positions filled with high quality staff that reflect the population diversity of the United States. In recent years, DOJ has performed well with regard to keeping jobs filled, recruiting necessary and well-qualified personnel, and training and developing on-board staff. Recently, additional studies

have been undertaken to examine DOJ hiring, retention, training, and diversity.

Recent Activity. Specific recent activities and assessments related to these topics are detailed below.

Keeping Budgeted Jobs Filled (including Border Patrol/Immigration Inspectors). In theory, an organization 100 percent staffed (assuming an appropriate occupational/skills mix) is most desirable and performs best. DOJ has an excellent record of keeping attrition low, but HR staffs often are not sure where their organizations stand relative to FTE ceilings and therefore, do not plan ahead to keep jobs filled. Instead, they await direction to fill vacancies when they occur, which results in lag times in filling positions. These inefficiencies can be corrected through improved communication among budget, HR and program staffs regarding FTE levels and job occupancy.

Also, DOJ recently has experienced an unusual and unexpected drop in job occupancy due to staff leaving for the new TSA, and military reservists going to support the War on Terror. Although departures to TSA create a hardship, DOJ understands the importance of staffing this new agency with experienced and trained personnel, especially those familiar with, and trained in, law enforcement. DOJ's record of keeping jobs filled and attrition low suggests that infrastructure and management processes are in place for DOJ to recover from any temporary negative TSA or DHS impacts. At the same time, certain positions, such as INS Border Patrol and Immigration Inspectors, have been especially affected by a combination of departures for TSA and other factors (e.g., job boredom, limited promotion potential) leading to attrition. DOJ recognizes such problems at the component and occupational level, and will monitor progress toward resolving these issues, as described in this Plan.

Ensuring the Quality of New Entrants. Analysis of overall DOJ staffing does reveal some difficulty sustaining the high quality of recruited candidates and gaps in leadership selection (or succession planning). Once DOJ obtains a high quality employee, the hiring organization must manage and develop that employee appropriately. The two basic employee

development models are (1) Recruit and Train and (2) Trained and Recruit.

The Recruit and Train model recruits employees who rate the highest on core competencies, but do not possess, or possess at a low level, the technical competencies to do the job. The agency then establishes training programs to teach these selectees the core technical competencies necessary to succeed in the job. This model is used for the majority of the employees entering DOJ in the core occupations. The prime examples are in the law enforcement fields, where job analyses have been performed to determine the key core competencies, e.g. analytical skills, language learning potential, writing ability, interpersonal skills. Once an employee with the core competencies is hired, then the technical skills required by the law enforcement agent such as chain-of-custody, court testimony, firearms, investigative techniques, and crowd control, are taught principally at the law enforcement academies in Glynco, GA, or Quantico, VA. The Department uses a similar approach for attorneys; however, new attorneys arrive with high-level knowledge/skills gained from having attended law school. The National Advocacy Center in Columbia, SC, then supplements this knowledge with specialized training in technical areas. Generally, employees recruited using this model receive 40 or more hours of formal training their first year on the job in order to learn the technical areas of their jobs.

The Trained and Recruit model recruits personnel already experienced or fully trained for a job. Little or no formal training is provided after the employee arrives and what training does occur is on-the-job. Generally, employees recruited using this model will receive less than 40 hours of formal training during their first year on the job. Employee training usually has been provided outside of DOJ. Under this model, the employee is most often recruited above the entry level for the occupation, and such recruitment tends to be for occupations which are not unique to DOJ. This model is most applicable to administrative, legal and law enforcement support, scientific, medical, and information technology positions.

DOJ has world class training programs for its Recruit and Train law enforcement and legal occupations, which ensures high skill levels for

its new employees. However, quality control for Trained and Recruit occupations depend on careful analysis of skills required and selection processes which ensure the best qualified are hired. The Department has invested in extensive skill, knowledge, and ability analyses for all occupations through OPM's Human Resource Manager survey, which documented the necessary competencies required for all DOJ occupations. To date, however, DOJ has made limited use of this competencies base, but has made extensive use of job analyses performed by consultants, psychologists, test designers, or hired job analytical experts. Along with these analyses, DOJ will make more extensive use of the Human Resource Manager survey results in its human capital planning process.

In summary, DOJ has a superb program for those core occupations for which it uses the Recruit and Train program. It also recognizes that not all occupations need to be recruited using this model and for the most part few complaints are registered by selecting officials of those they select for their own organizations when the Trained and Recruit model is used.

Meeting Skill Needs. DOJ has been successful in meeting skill needs of its core professions and its *2001 Restructuring Report* indicated no critical skill gaps in its core professions. This is due to DOJ's strong recruitment programs (e.g., for lawyers and enforcement agents) that emphasize the hiring of high quality candidates coming into the organization, initial training programs for new employees, and the ability to address new skill needs at its law enforcement and legal academies.

When skill gaps arise, DOJ components do a good job of addressing them. For example, BOP identified workforce shortages among medical professionals and wardens, but has been meeting these needs through reduced attrition, longer appointments for medical personnel, and retention bonuses for wardens. After September 11, DOJ suddenly needed more staff who could read and translate middle-eastern languages. This need was met through innovative recruiting at the FBI, which now reports a surplus of language skills to meet its needs.

Recent Human Capital Studies. Recently, DOJ hired major consulting firms to perform two broad studies of DOJ human capital practices and activities. Specifically, these were designed to meet Attorney General Goal 9 (Strengthen Hiring, Training, and Diversity Policies). This called for DOJ to: (1) develop consistent, Department-wide hiring policy; (2) coordinate training efforts to elevate and maximize employee skill and performance; and (3) to strengthen policies to attract a highly qualified, diversified workforce. One study focused on Department-wide hiring, training, and retention (and included a look at diversity across occupations), while the other focused on attorney diversity. In addition, DOJ recently began a study to look at information technology (IT) human capital needs to support the Chief Information Officer function within DOJ. The findings and recommendations from these studies are being reviewed by Department leadership and will be incorporated into the Department's Human Capital Strategic Plan as appropriate. Many of the recommendations, however, are reflected in the various objectives presented in this plan. These studies will continue to be a source of information and insight for human capital planners at DOJ.

Objectives

1. Develop and implement a cross-Department recruitment strategy. DOJ will implement a recruitment strategy that takes many factors into consideration. For example, given the commonality of certain occupations within the Department, components have expressed interest in leveraging limited resources by combining recruitment efforts where it makes sense. In addition, some components have examined past turnover trends, anticipated vacancies and "pre-recruited" candidates to speed the hiring process. With this approach, there is no waiting until a vacancy occurs to announce a job, and selection lists can be available immediately when positions become vacant. Some components have used innovative recruitment mechanisms such as applicant supply files, rosters, examinations, and succession programs. The Department will collect these best practices and post a guide to their management and operation on the Personnel Staff web page. The DOJ recruitment strategy also will include establishing relationships with targeted universities,

attendance at job fairs, applicant data mining, and information dissemination to managers on recruitment flexibilities.

2. Implement continuous process improvement for recruitment and hiring activities and ensure that the hiring process is as streamlined as possible.

The Department has a strong business interest in improving its hiring process, especially to shorten the time required to recruit for and fill jobs. It is known that candidates looking for a first job or a career change tend to take the first legitimate offer. For core jobs/professions, such as criminal investigator or attorney, the prestige of working for DOJ (e.g., as an FBI/DEA agent, or attorney for the Solicitor General, U.S. Attorneys or litigating divisions) candidates may be willing to wait longer or delay accepting other employment offers. However, for computer specialist or administrative professions, where Federal/private sector demand is high and openings widespread, lengthy and complex recruitment processes can result in the loss of top candidates to organizations able to make final offers the fastest.

DOJ surveyed each of its major components and asked them to detail:

- (1) step-by-step recruitment processes for their core occupations;
- (2) the size and management of their applicant pools;
- (3) views on joint recruiting;
- (4) measurement of the quality of their applicants; and
- (5) recruitment for leadership positions.

Each component provided the recruitment process information using a similar format so that comparisons could be made among the various steps in the process, e.g. time from vacancy to management request to Personnel for recruitment action; time to advertise a job vacancy and process applicants; time for management to make a selection; time to process candidate through various background checks (reference checks, background investigations, drug screening, polygraphs, medical checks, etc.); and the time to make a final offer and bring the candidate on-board.

The quality of component responses varied. Some did a superior job of detailing their hiring processes; others left out key steps or combined them so that direct comparisons were difficult. Nevertheless, the survey revealed a very wide range in the lengths of time to bring employees on-board after a vacancy. The average time to fill a job ranges from a low of 41 days to a high of 254 days. Significant variations were found in the announcement phase and the background check phase of the hiring process. In addition, the survey found that background checks can account for 40-60 percent of the time it takes to hire a replacement.

3. In conjunction with the e-government initiative for Recruitment One-Stop, ensure that hiring is automated across DOJ to the greatest practical extent. Several components have implemented systems for the automated receipt, screening, qualifications analysis, and rating of candidates. Automation speeds recruitment and processing of candidates and permits components to recruit over a much broader area. Manual processes are limited to the capacity of servicing staff to process the necessary paperwork, whereas automation places more processing control and responsibility in the hands of front line managers and staffs, freeing up human resources staff for more proactive human capital planning activities.

The Department and several components have been utilizing an automated recruitment system called AVUE on a contract basis to support the hiring process. This tool allows managers to receive applications, review qualifications, and rate candidates on-line. In addition, it provides valuable management information for the Department's Personnel Staff. The Department is renegotiating this contract at present to determine whether to continue with AVUE or to pursue services from another system/software provider. Whatever the outcome, DOJ is committed to continuing to expand the use of cost-effective, automation tools to support recruitment and this will be an important part of its human capital planning and reporting.

4. Analyze the background investigation process, and modify as needed. Another critical area of the recruitment process, and the one that takes the longest, is completion of background checks. Background checks are done on potential selectees after the tentative

offer of employment is made. The employment offer is tentative because it is dependent upon the candidate passing a series of screenings, which may include: reference checks (vouchering), background investigations (BI), drug tests, medical exams, polygraphs, and/or fingerprint checks.

Components fastest at getting their selectees on-board are those which are able to conduct police checks on candidates and get waivers from the Security Staff to bring the candidates on-board before the full BI is done (which is then completed while the person is on-board.). It is recognized, due to the security of certain positions and the cost of law enforcement training, that using background waivers is not a recommended practice for all positions.

Also, in spite of being alerted of BI requirements, candidates fail BIs from 10 to 34 percent of the time, depending on the component. These failures represent great inefficiency in the hiring process, since they can cause a component to begin recruitment over again after investing 40-200 days in a candidate. The reasons for BI failures are not reported and have not been analyzed.

Recently, DOJ components have implemented new procedures to help expedite the employee screening process. For example, since so many FBI agent candidates fail the polygraph test, FBI moved this hiring step to the front of its hiring process. DEA is pursuing this as well. As part of this Plan, the Department will also review and consider how best to ensure a reasonable approach to performing these checks.

5. Conduct a study of flexible/alternative pay programs at DOJ and other Federal organizations to assess: (1) whether legislative change is needed; (2) whether demonstration projects or alternative personnel systems would be valuable, and (3) the extent to which flexible pay authorities help other organizations retain key personnel. Much work has been done in federal agencies on using flexibilities such as broad-banding (or pay-banding) and use of categorical rating and ranking for hiring. With a wide array of personnel flexibilities anticipated for use in the new DHS, DOJ has a significant interest in giving due consideration to the appropriateness and viability of such HR flexibilities here. Recent

reviews of DOJ human capital operations revealed that both headquarters and components are interested in developing and implementing these strategies. Therefore, DOJ plans to carefully study these options for possible use in DOJ, including determining the best course of action for obtaining the authorities to implement these well-proven alternative human capital approaches.

6. Document and continue to build on DOJ's strong workforce development strategy, and address any training gaps/issues identified (management development, e-learning, FLETC, language training, and intelligence analysis training.) As new competencies are required or need refreshment, DOJ generally is well-equipped to maintain the high quality of its core occupations in the legal and law enforcement fields because of the fine facilities and talented staff who work in these training centers (e.g. Quantico and FLETC). However, consultants who reviewed DOJ reported that many employees in these core professions said that they do not receive sufficient opportunity to maintain their peak technical skills and to add new ones, since there is little assessment of their continuing needs once they are on the job.

As for those employees who enter DOJ through the Trained and Recruit hiring model, there is little training offered to maintain competencies and very few individual development plans. Although no assessments have been done in this area, it can be assumed that the skills of employees offered minimal competency maintenance programs will atrophy unless they pursue training and development on their own. (This might be one reason why attrition is substantially higher in these types of occupations.)

Management Development. DOJ continues to grapple with how best to offer managers and employees the training necessary to address progressive responsibilities encountered as they move up the management ladder, or to meet the rapidly changing demands of technology which come to bear on the workplace. Myriad developmental courses offered by OPM and others are routinely posted to web-sites or sent via e-mail, but managers and employees often must establish plans and pursue skills development on their own. A more proactive approach is needed for ensuring that individual

development plans (IDPs) are explicated and communicated, and that information on training requirements and opportunities to address skill gaps are provided.

E-Learning. In an effort to address general management training needs while minimizing budget demands, DOJ has become a leader in providing e-learning opportunities to employees. Since early in 2000, DOJ has provided the highest quality leadership, management, and communication training content available on the market to employees at their desktop using the latest in interactive, engaging, and educationally sound on-line training. For the Department, this has meant that hundreds of employees, who may not have been able to attend classroom training due to cost or time issues, have been able to learn about innovative and widely recognized leadership models for developing the skills of their staff. In FY 2003, over 5,000 employees and supervisors in the Antitrust Division, Criminal Division, Tax Division, FBI, INS, Justice Management Division (JMD), OJP, and the USMS will have licenses that will enable them to pursue at their own pace, and to their own needs, on-line courses in partnering for results, forging breakthroughs, managing change, building communities, managing innovative projects, and others, all taught by leading experts.

FLETC Access. Recently, DOJ has determined that FLETC is near capacity in its training offerings/slots due to efforts to meet the demands of Treasury and other agencies, the new TSA, and potentially, the DHS, once decisions are made, legislation is enacted, and the President approves the movement of the INS to the DHS. DOJ is very concerned that its access to FLETC training courses and facilities be maintained at an appropriate level to ensure support for its remaining law enforcement missions, e.g., for BOP and USMS. DOJ will need to carefully plan for and closely monitor these changes to ensure that appropriate training and development is available.

Foreign Language Skills/Training. The need to hire and/or train interpreters for DOJ law enforcement and litigation has long been recognized. For many years, the FBI and DEA have depended on those with specialized foreign language skills to assist with investigations. As criminal networks have

expanded internationally and operated in more remote locations, the obscure language skills needed have become more difficult to find. Already mentioned was the urgent need for Arabic/Afghani/Pakistani language skills following the September 11 terrorist attacks.

Intelligence Analysis Skills/Training.

Professional intelligence analysis on par with the intelligence and military services is another significant skill gap at Justice that needs to be filled. September 11 riveted national attention to the need for a strong intelligence analyst cadre and capability, especially at the FBI, to better address the counterterrorism, counterintelligence, and counterdrug missions. In recent years, the FBI and DEA have been working together to enhance their intelligence skills by obtaining assistance from the intelligence community and sharing/combining intelligence training activities.

**GOAL 3.
Develop an Organizational Culture
Focused on Performance and
Results.**

Accomplishments. Recognizing that DOJ did not have a results-oriented human resources culture in the past, the Department contracted with consulting firms to obtain suggestions on how best to implement true performance management. The consultants characterized the current system more as a “have-to-do paperwork” exercise than a planning device to improve results. Some of the concerns raised in the report were:

- Ratings were skewed positively, or otherwise did not reflect true performance;
- Performance standards were not always consistently or appropriately defined;
- Supervisors were not dealing with poor performers or providing feedback (positive or negative) to staff.

As part of its continuing effort to develop and publicize a performance based culture, DOJ used its website to post the following:

- 1) DOJ’s mission statement;

- 2) DOJ’s Strategic Plan for FY01-06; and
- 3) DOJ’s Annual Performance Plan which, in turn, translates the broadly stated goals and objectives of the Strategic Plan into specific annualized performance goals or targets linked to DOJ’s annual planning, reporting, and budgeting activities.

This information is available on-line to the general public.

The Department also recognizes that performance improvement is dependent upon keeping the best employees. Increasingly, these employees are considering worklife options when choosing between organizations offering similar opportunities. Recognizing this, DOJ has continued to expand its program of supervisory and employee educational efforts. The Department’s most recent accomplishments include:

- Improving the accuracy and quality of worklife statistical reporting through a cooperative effort with the Finance Staff and the DOJ components.
- Upgrading the DOJ worklife web site to provide more comprehensive, up-to-date information presented in a clear and easy-to-use format.
- Conducting the first federal panel session on telecommuting for attorneys. The session included videoconferencing and was videotaped for those who could not attend. Representatives from the Federal Trade Commission, Security Exchange Commission, and the General Services Administration participated.
- Enhancing worklife marketing for various programs and services through several mediums, to include pay statement mailers and messages; JCON broadcast announcements; presentations to various component audiences; and consulting support to Component Worklife Coordinators, managers, and staff.

Recent Activity. DOJ recognizes that the next steps are to translate the agency goals and objectives into the performance work plans of its

employees at all levels, and moving a “have-to-do paperwork exercise” into a planning device to improve results. To this end, Department staff have begun rewriting performance management policies and guidance with the help of its component personnel.

Underlying these improvement efforts is the need to strengthen communications with employees. DOJ has made great strides in making use of the Department’s Intranet to educate employees on DOJ’s missions, objectives, plans, and goals and will continue to do so as expectations are further clarified.

Surveys conducted by the Merit Systems Protection Board (MSPB) show that the use of worklife programs has an impact on attrition and retirement rates. Of particular note, telecommuting was found to be the worklife program that most influences an employee’s decision to stay with an organization. DOJ offers a full array of worklife programs and its program was one of the first to win an award from OPM for its progressiveness. During FY 2002, DOJ expanded its worklife program to include a DOJ Order which directs each component to develop a Flexible Work Option Program (FWOP) and a written plan for its implementation. The DOJ Order provides general guidance on the elements of a FWOP implementation and represents the first Department effort to require components to clearly state their policies and procedures in this area.

Objectives

1. Develop a performance management model at the Department-level that “cascades” strategic goals to front-line employees, and design an implementation strategy that includes communications and training. This will involve the identification of “best practices” for giving rewards and recognition to outstanding employees. It also may require undertaking evaluation of awards programs to assess their linkage to performance results, and how they should be incorporated into the model.

2. Advance the state of our information-sharing and communication at the Department, and identify and adopt new methods to automate HR processes to

improve access. This objective underscores the critical nature of communications in meeting employee and organizational needs. DOJ will commit to further improvements to its current website, and develop, then provide “best practice” information on employee communications. This will serve as an HR “tool kit” for managers to understand and apply current policies and flexibilities in achieving organizational missions.

3. Strengthen the value of worklife programs and assess how directly they are linked to attrition reduction and mission accomplishment. This will entail educating employees and managers on worklife programs.

GOAL 4. Strengthen Human Capital Leadership within DOJ.

Accomplishments. The vast majority of supervisors and managers within DOJ are hired using the Recruit and Train model. The fact that DOJ draws so heavily upon its internal population for its upper management positions underscores the importance of DOJ having a premier leadership development program equal to that in its legal and law enforcement fields. Much has already been achieved. As examples:

- During FY 2002, at least 210 Department employees (ranging from SES members to managers and supervisors at the GS-14 level and above) have participated in several Executive Development Program seminars.
- For the past 3 years, the JMD has successfully implemented an external Department-wide executive development program with the Department of Labor SES called the Forum Series Consortium. This collaborative effort has provided an opportunity for 78 executives and managers to network with leaders from 18 other Federal agencies.

Recent Activity. The Executive Development Program Seminar Series is one of the key ongoing Department leadership development programs. These seminars have covered such topics as telecommuting, legislative issues, technology’s impact, budget issues, and leadership development. This internal Department-wide series provides all

components an opportunity to meet and discuss topics of interest, with a cross section of organizations represented. Guest speakers from DOJ and private vendors have participated in the series.

In regard to the collaborative leadership development partnership with Labor, SES members are the primary customers of this forum, although during this past year, GS-14 and 15 level managers and supervisors attended, on a space available basis.

In addition, the Department of the Interior Government-Wide Forums is a partnership series available to executives, managers, and supervisors at the GS-11 level and above in the DOJ Offices, Boards, and Divisions (OBDs). The JMD manages the collaborative effort for the OBDs, in partnership with 11 other agencies, led by the Department of the Interior University. This is the second year the Department has participated in this consortium. Other component supervisors have attended this year also, on a space available basis. As of August, 2002, four forums were conducted with 73 OBD attendees. Three more forums, with authored guest speakers on Career, Balance, and Diversity topics, are scheduled in September, October, and November 2002.

Another area where the Department is beginning to focus more intently is SES management and succession planning. Senior SES leaders typically develop, implement, and evaluate plans and programs; create and sustain the long-term organizational culture in their components; and respond to requests and direction from senior departmental officials and other Executive Branch representatives as well as the Congress. In addition, senior SES leaders frequently enjoy a breadth of experience and expertise which enables them to assist new political leadership in considering issues and assessing the impact of decisions. Their role is invaluable in achieving results, for which they are directly accountable.

Managing the SES is essentially important to achieving Administration and legislative goals. Specific functions, such as allocating SES slots to components, ensuring a recruitment process that results in the strongest possible candidate pool, and developing a performance management process which links mission

accomplishment with SES compensation and bonuses, underpin the ability of senior departmental leadership to effect change.

Currently, the Department has 407 SES spaces allocated by OPM, as well as 72 Senior Level (SL) spaces. This allocation does not include the DEA or the FBI, each of which receive its allocation from OMB. By judiciously allocating these slots throughout the Department, the Attorney General communicates priorities as well as determines how senior leadership is appropriately deployed. In defining recruitment and entry processes, the Attorney General ensures that the strongest candidates are assessed and hired. In managing performance, the Attorney General is able to reward SES members who achieve defined goals as well as signal the need for improvement in cases where it is needed. The result will be an SES corps that is aligned with the Department's objectives.

Objectives

1. Identify, document, and improve the nature, content, and level of DOJ employee participation in leadership development programs, including the extent of such programs at the component level. With this information, identify and leverage common leadership training needs and opportunities and ensure leadership development at all levels is linked to mission needs. Although several of DOJ's larger components have leadership training programs, most do not. Outside consultants examining this issue found where such programs exist, they tend to emphasize classroom training.

2. Restructure management of DOJ's SES corps. This objective will involve re-examining and potentially modifying both the allocation of SES resources across the Department, as well as examining and refining the SES recruitment process. In addition, to ensure the closest possible linkage with mission achievement, SES performance management policies and processes will be examined and modified, including assessing the value of linking compensation and bonuses with performance results.

Conclusion and Next Steps

The goals and objectives presented in this document are designed to articulate a broad and comprehensive plan for meeting DOJ human capital needs now and in the future. Descriptions of exemplary accomplishments and recent activities, as well as ongoing and planned activities that will strengthen DOJ human capital management even more in the future, are presented under each goal.

However, this plan does not include every collective, or component-specific, human capital initiative now underway at the Department. Rather, it presents a broad framework or guide to ensure that key human capital priorities of the Administration are met. DOJ and component leaders should use this plan as a guide for meeting critical human capital needs.

This plan also is important in that it provides a baseline for clearer and more rational reporting to OMB on DOJ activities and progress regarding human capital activities. Thus far, the Department has taken a somewhat random, “scattershot” approach in its reporting, listing a broad range of human capital initiatives without presenting rationale regarding how the initiatives relate to each other in the context of a comprehensive plan. The intent now is to rationalize future reporting consistent with this plan. This will mean that DOJ must revisit its “scorecard” reports to ensure that appropriate elements are reported. It may also mean that DOJ human resources leaders must develop appropriate measures to assess progress against the strategic goals and objectives. The plan will be reviewed regularly and revised appropriately to ensure that it reflects current DOJ priorities, and progress reporting will be grounded in the broad, strategic goals for human capital. When necessary, new objectives will be added to be consistent with and support the overall strategy.

It also is critical to point out that no agency strategic plan such as this can succeed without the strong, consistent support of Department leaders and cooperation among the components. This is especially true in an organization such as DOJ, which is so decentralized in its management. Strong central oversight is needed to avoid duplication of effort and to ensure consistent approaches to human capital issues across the entire Department. At the same time, sufficient flexibility must exist to permit components to address their unique needs or issues where appropriate. Central overseers must be sensitive to these needs as they coordinate and balance the different activities necessary to successfully implement this strategic plan. The plan provides a baseline of important activities that DOJ leadership should pursue in consultation with component leaders. With strong central review/oversight and careful coordination, this plan should evolve into a useful tool within DOJ for communicating and articulating human capital priorities that need to be addressed by all components.

Successful human capital management at the Department may require additional investment of time and resources to ensure that the human capital plan is updated and followed. It requires a clearly designated advocate and manager capable of seeing that the components carry out the initiatives necessary to meet the various goals and objectives. The JMD’s Personnel Staff, as the central office in DOJ responsible for personnel policy and practice, probably is in the best position to carry out these responsibilities. The new Director of that office has extensive experience in human capital planning and a clear vision for how a plan should be implemented within a large agency. In addition, she has a strong and positive working relationship with OMB and OPM officials responsible for addressing human capital issues. However, Personnel Staff currently is short on analyst staff and may need to add such in order to more effectively facilitate, coordinate, review, track, and revise the plan. Thus, the Personnel Staff Director should be designated by DOJ leadership to lead the human capital strategic planning process and appropriate staff added to support the effort in the future.

In summary, this plan shows DOJ is already in a strong position with regard to its human capital management. Nevertheless, it also presents many broad areas for further analysis and study, as well as additional objectives/initiatives that need to be pursued to further improve DOJ's position. It is hoped that this plan will serve as a useful guide for DOJ and its components as they pursue together an even better human capital environment.

Appendix

Memo from the Attorney General



Office of the Attorney General
Washington, D. C. 20530

November 8, 2001

MEMORANDUM FOR HEADS OF DEPARTMENT COMPONENTS

FROM: THE ATTORNEY GENERAL *John Ashcroft*

SUBJECT: Comprehensive Review and Reorganization of the Department of Justice to Meet Counterterrorism Mission

The Department of Justice is the guardian of liberty in our land. Our mission is to preserve the Constitutional rights and freedoms of all Americans, and our sacred responsibility is to protect those who are weak, vulnerable or oppressed.

We build upon the heritage of our predecessors – the men and women who were the trust busters in the Twentieth Century, who safeguarded our nation's internal security from fascists and communists, who declared legal war on mafia bosses and corrupt political machines, and who crusaded for every American's equality and civil rights. Their victories built the foundation upon which we now stand and helped to secure the liberties we must now safeguard from terrorism.

The Justice Department may be more complex, but our mission today must be just as clear as it was for our predecessors. This Department exists to protect American's Constitutional rights from threats, foreign and domestic, that would rob us of our basic liberties. To pursue this noble cause, we exercise sweeping powers and employ vast resources. Guided by the Constitution, we are limited only by the depth of our resolve and the clarity of our vision.

In the days following September 11th, our vision became clear as our resolve hardened. The President has charged us with a critical mission: to protect our nation and its citizens from a serious, immediate and ongoing threat of terrorism. To fulfill this mission, we will devote all resources necessary to disrupt, weaken, and eliminate terrorist networks, to prevent or thwart terrorist attacks, and to bring to justice the perpetrators of terrorist acts. The fight against terrorism is now the first and overriding priority of the Department of Justice.

We are releasing today the Department of Justice's Strategic Plan for fiscal years 2001-2006. This plan reflects the new realities of our mission and describes the goals and objectives we will pursue to accomplish it. First and foremost, a new mission requires a new way of doing business. We must look closely at the many functions and responsibilities of the Department of Justice and realign our resources to support the critical tasks ahead – all while continuing to enforce vigorously the laws of the United States.

To this end, following are a series of goals and management initiatives that reflect the changed priorities of the Department in this new environment. I have consulted closely with the Deputy

Attorney General on the development of these goals. In addition, I have asked him to lead the effort, with the assistance of the Strategic Management Council (SMC), to develop and implement appropriate measures to accomplish these goals with all practicable timeliness. The goals are as follows:

GOAL 1: Develop Performance-Based, Mission-Focused Leadership

- Revise the Department of Justice Performance Plan to include clear, consistent performance measures that support the department's Strategic Plan of long-term goals and objectives.
- Link individual performance reviews to the performance of organization units and components.

GOAL 2: Streamline, Eliminate or Consolidate Duplicative Functions

- Develop plan to consolidate duplicative functions within the Department.
- Streamline departmental processes, as appropriate, to eliminate inefficiencies.
- Achieve 10% budget savings to be realigned to support counterterrorism mission.

GOAL 3: Focus Resources on Front-Line Positions

- Reallocate caseload and field positions consistent with the Department's mission.
- Transfer 10% of current headquarters positions to front lines to support the Department's long-term goals and objectives reflected in the Strategic Plan.

GOAL 4: Reform the Federal Bureau of Investigation (FBI)

- Complete the FBI review currently underway, prioritizing the FBI's counterterrorism mission.
- Implement recommended reforms of the Strategic Management Council, upon approval by the Attorney General.

GOAL 5: Restructure the Immigration & Naturalization Service (INS) and the Executive Office for Immigration Review (EOIR)

- Consistent with the President's objective, restructure the INS to separate enforcement and service functions, reduce backlog in application processing, and improve effectiveness and accountability.
- Strengthen INS border security and interior enforcement.
- Restructure the EOIR and streamline its processes to improve its organizational effectiveness and eliminate all case backlog.

GOAL 6: Restructure the Office of Justice Programs (OJP) and Reform Grant Management

- Restructure the OJP to flatten its organizational structure and improve its operational efficiency.
- Develop and implement a uniform grant application and improve the accountability, reliability and efficiency of the grant system.
- Improve the accessibility of information by, and the service to, state and local law enforcement, crime victims and other constituencies.

GOAL 7: Coordinate Internal and External Communications and Outreach

- Expand outreach to state and local law enforcement agencies to improve information sharing and operational cooperation.
- Improve coordination and facilitate the information flow to and from U.S. Attorney's offices.

GOAL 8: Improve Department-Wide Financial Performance

- Improve performance by all components to achieve unqualified opinions and eliminate material weaknesses.
- Implement a uniform financial system.

GOAL 9: Strengthen Hiring, Training and Diversity Policies

- Develop consistent, department-wide hiring policy.
- Coordinate training efforts to elevate and maximize employee skill and performance.
- Strengthen policies to attract a highly qualified, diverse workforce.

GOAL 10: Utilize Technology to Improve Government

- Develop a comprehensive information technology plan to support strategic goals and improve information management.
- Develop and implement a service plan that is citizen-centered, and includes appropriate online citizen accessibility.

This department-wide endeavor will be mission-focused, and will be guided by the principles of integrity, responsibility, and stewardship. Decisions will be made based solely upon what will advance the critical mission of the Department, not on individual or organizational interests. Now is the time to come together as a Department to move forward with the cause of justice, and to protect and defend freedom for future generations.

Our service men and women are risking their lives to battle the enemy overseas. It falls to the men and women of justice and law enforcement to lead America in fighting terrorism at home. By aligning our resources with the critical mission ahead, and by improving operational effectiveness and efficiency, the Department will help win the war against terrorism and protect the safety and liberty of all Americans.

Our mission is clear. As the President said, in this mission "we will not tire, we will not falter, and we will not fail." Thank you for your continued leadership, and for your hard work in accomplishing these critical goals.